



Attorney Docket No. ICOR-002 <sup>#3</sup> 02-28-02

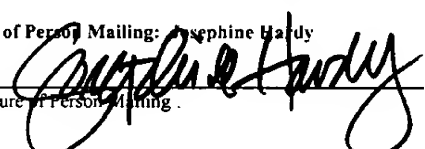
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Handa *et al.*  
Serial No. : 09/665,305  
Filed : September 19, 2000  
Title : Method and System for Managing Credit for the Electronic Trading of Financial Instruments  
Group : 2161  
Examiner : Not Yet Assigned

CERTIFICATE OF MAILING

I hereby certify that this paper and all enclosures referred to therein are being deposited with the United States Postal Service as First Class Mail, with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on January 2, 2002.

Name of Person Mailing: Josephine Hardy

Signature of Person Mailing: 

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FEB 04 2002

Group 2100

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

In accordance with the duty of disclosure provisions of 37 C.F.R. § 1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor is this Information Disclosure Statement a representation that a search has been made (other than a search report of a foreign counterpart application or PCT International Search Report).

1. ☒ Enclosures accompanying this Information Disclosure Statement are:
  - (1) Form PTO-1449;
  - (2) Copies of publications.
2. ☒ This Information Disclosure Statement is filed under 37 C.F.R. § 1.97(b) before the latter of three months after the U.S. patent application filing date or the first Office Action on the merits.  
Accordingly, no fee or certification is required.
3. ☐ This Information Disclosure Statement is filed under 37 C.F.R. § 1.97(c) after the first Office Action on the merits, but before a Final Office Action or a Notice of Allowance.  
(Check either 3a or 3b.)
  - 3a. ☐ The Certification Statement in Item 5 below is applicable. Accordingly, no fee is required.
  - 3b. ☐ The \$180 fee set forth in 37 C.F.R. § 1.17(p) in accordance with 37 C.F.R. § 1.97(c) is to be charged to Skadden, Arps, Slate, Meagher & Flom LLP Deposit Account No. 19-2385.


☒ This Information Disclosure Statement is filed under 37 C.F.R. § 1.97(d) after Final Office Action or Notice of Allowance, but before payment of Issue Fee. A Petition to the Commissioner is hereby made under 37 C.F.R. § 1.97(d) to request consideration of this Information Disclosure Statement. Please charge the \$180 fee set forth in 37 C.F.R. § 1.17 (p) to Skadden, Arps, Slate, Meagher & Flom LLP Deposit Account No. 19-2385.

The Certification Statement in Item 5 below is applicable.

5. ☐ Certification Statement. *(Applicable if Item 3a or Item 4 is checked)*
- 5a. ☐ In accordance with 37 C.F.R. § 1.97(e)(1), it is certified that each item of information contained in the Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- 5b. ☐ In accordance with 37 C.F.R. § 1.97(e)(2), it is certified that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in § 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.
6. ☒ The Commissioner is authorized to charge any additional fee required or credit any overpayment for the Information Disclosure Statement to Skadden, Arps, Slate, Meagher & Flom LLP Deposit Account No. 19-2385.

Respectfully submitted,

Date: January 2, 2002

By:   
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Andrew F. Strobert                      Reg. No. 35,375

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**Enclosures (1449 Form and Reference(s))**